

12-18-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 003424.P034

(maximum 12 characters)

First Named Inventor Ian BernkopfTitle: SPLIT-FABRICATION FOR LIGHT EMITTING DISPLAY STRUCTURESExpress Mail Label No. EL672750036US

ADDRESS TO: **Assistant Commissioner for Patents**  
**Box Patent Application**  
**Washington, D. C. 20231**

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.   X   **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original, and a duplicate for fee processing)
2.        **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3.   X   **Specification (Total Pages   45  )**  
(preferred arrangement set forth below)
  - Cover page
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.   X   **Drawings(s) (35 USC 113) (Total Sheets   12  )**
5.   X   **Oath or Declaration (Total Pages   5  )**
  - a.   X   Newly Executed (Original or Copy)
  - b.        Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.        DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c.        Unsigned.
6.        **Application Data Sheet. (37 CFR 1.76)**
7.        **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8.        **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a.        **Computer Readable Form (CRF)**
  - b.        **Specification Sequence Listing on:**
    - i.        **CD-ROM or CD-R (2 copies); or**
    - ii.        **paper**
  - c.        **Statement verifying identity of above copies**

2/15/01

- 1 -

12/06/01



JC962 U.S. PTO 10/020385



12/06/01

10020385 120601

# ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & documents(s))
10. ☐ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
- ☐ b. Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ a. Information Disclosure Statement (IDS)/PTO-1449
- ☐ b. Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Express Mail with copy of postcard showing content of Express Mail package.

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)  
 Of Prior Application No.: ☐ Examiner ☐ Group Art Unit ☐  
 (which is a ☐ continuation/ ☐ divisional/ ☐ CIP of prior application no. ☐,  
 which is a ☐ continuation/ ☐ divisional/ ☐ CIP of prior application no. ☐ (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.  
 For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that ☐ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. ☐ Frame No. ☐ (or a copy of which is attached).

## 19. Correspondence Address

☒ Customer Number or Bar Code Label 008791  
 or (Insert Customer No. or Attach Bar Code Label here)  
☒ Correspondence Address Below

NAME James C. Scheller  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

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Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): Mimi Diemmy Dao Registration No.: 45,628  
 Signature: [Signature] Date: December 6, 2001

**FEE TRANSMITTAL FOR FY 2002****TOTAL AMOUNT OF PAYMENT (\$)** \$1212.00**Complete if Known:**

Application No. Unassigned  
 Filing Date Unassigned  
 First Named Inventor Jan Bernkopf  
 Group Art Unit Unassigned  
 Examiner Name Unassigned  
 Attorney Docket No. 003424.P034

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name \_\_\_\_\_

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check  
 \_\_\_\_\_ Money Order  
 \_\_\_\_\_ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	740	201	370	Utility application filing fee	<u>740.00</u>
106	330	206	165	Design application filing fee	_____
107	510	207	255	Plant filing fee	_____
108	740	208	370	Reissue filing fee	_____
114	160	214	80	Provisional application filing fee	_____

**SUBTOTAL (1)** \$ \_\_\_\_\_**2. EXTRA CLAIM FEES**

		Extra Claims	Fee from below	Fee Paid
Total Claims	<u>44</u>	- 20** = <u>24</u>	X <u>18.00</u>	= <u>432.00</u>
Independent Claims	<u>2</u>	- 3** = <u>0</u>	X <u>84.00</u>	= <u>00.00</u>
Multiple Dependent				= _____

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$ 432.00

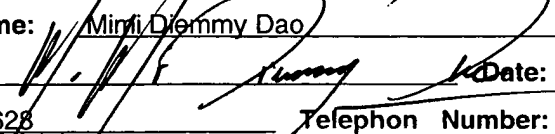
**FEE CALCULATION (continued)**
**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>F</u>	<u>Paid</u>
<u>Fee</u>	<u>F e</u>	<u>F</u>	<u>F</u>			
<u>Code</u>	<u>( \$ )</u>	<u>Code</u>	<u>( \$ )</u>			
105	130	205	65	Surcharge - late filing fee or oath		
127	50	227	25	Surcharge - late provisional filing fee or cover sheet		
139	130	139	130	Non-English specification		
147	2,520	147	2,520	For filing a request for ex-parte reexamination		
099	8,800	099	8,800	Request for inter partes reexamination		
112	920*	112	920*	Requesting publication of SIR prior to Examiner action		
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		
115	110	215	55	Extension for response within first month		
116	400	216	200	Extension for response within second month		
117	920	217	460	Extension for response within third month		
118	1,440	218	720	Extension for response within fourth month		
128	1,960	228	980	Extension for response within fifth month		
119	320	219	160	Notice of Appeal		
120	320	220	160	Filing a brief in support of an appeal		
121	280	221	140	Request for oral hearing		
138	1,510	138	1,510	Petition to institute a public use proceeding		
140	110	240	55	Petition to revive unavoidably abandoned application or unavoidably delayed payment of issue fee		
141	1,280	241	640	Petition to revive unintentionally abandoned application or unintentionally delayed payment of issue fee		
142	1,280	242	640	Utility issue fee (or reissue)		
143	460	243	230	Design issue fee		
144	620	244	310	Plant issue fee		
122	130	122	130	Petitions to the Commissioner		
123	50	123	50	Petitions related to provisional applications		
126	180	126	180	Submission of Information Disclosure Stmt		
581	40	581	40	Recording each patent assignment per property (times number of properties)		40.00
146	740	246	370	For filing a submission after final rejection (see 37 CFR 1.129(a))		
149	740	249	370	For each additional invention to be examined (see 37 CFR 1.129(b))		
179	740	279	370	Request for Continued Examination (RCE)		
169	900	169	900	Request for expedited examination of a design application		
Other fee (specify) _____						
Other fee (specify) _____						

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Mimi Diemmy Dao  
 Signature:  Date: December 6, 2001  
 Reg. Number: 45,628 Telephone Number: (408) 720-8300

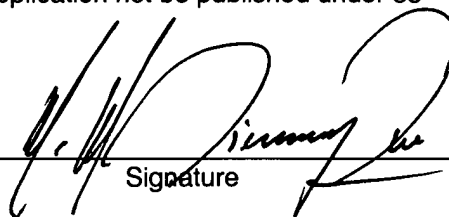
10020385-120601

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**First Named Inventor Ian BernkopfTitle SPLIT-FABRICATION FOR LIGHT EMITTING DISPLAY STRUCTURESAttorney Docket No. 003424.P034

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

December 6, 2001

Date



Signature

Mimi Diemmy Dao

Typed or Printed Name

45,628

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

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JC675 U.S. PTO  
10/020385



"Express Mail" mailing label number EL 672750036 US

Date of Deposit December 6, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C.

Michelle Begay

(Typed or printed name of person mailing paper or fee)

December 6, 2001

(Signature of person mailing paper or fee) Date

Serial/Patent No.: <u>***</u>	Filing/Issue Date: <u>***</u>
Client: <u>Alien Technology</u>	
Title: <u>SPLIT-FABRICATION FOR LIGHT EMITTING DISPLAY STRUCTURES</u>	
BSTZ File No.: <u>003424.P034</u>	Atty/Secty Initials: <u>JCS/MDD/mb</u>
Date Mailed: <u>December 6, 2001</u>	Docket Due Date: <u>***</u>
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:	
<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No.: <u>EL672750036US</u> <input checked="" type="checkbox"/> Check No. <u>46840</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>\$1212.00</u>
<input checked="" type="checkbox"/> Application - Utility ( <u>45</u> pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO 1449 (____ pgs.) <input type="checkbox"/> Check No. _____
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input checked="" type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA ( <u>5</u> pgs.)	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter ( <u>22</u> pgs.)	<input checked="" type="checkbox"/> Transmittal Letter, in duplicate <u>XXXXXX</u>
<input checked="" type="checkbox"/> Drawings: <u>12</u> # of sheets includes _____ figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate
<input checked="" type="checkbox"/> Other: <u>Certificate of Express Mail with copy of postcard showing content of Express Mail package and PTO Form SB/35.</u>	